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James L. Katz, Reg. No. 42,711

Name of Applicant, Assignee or  
Registered Representative

Signature

3-21-04

Date of Signature

Our Case No.: 4672/369

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Brady et al.

Serial No.: 10/726,851

Filing Date: December 2, 2003

For: NETWORK AND METHOD FOR  
PROVIDING OPTION SPREAD  
INDICATIVE QUOTES

Examiner: Not yet assigned

Group Art Unit No.: Not yet assigned

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.H./



FORM PTO-1449	SERIAL NO. 10/726,851	CASE NO. 4672/369
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE December 2, 2003	GROUP ART UNIT Not yet assigned
(use several sheets if necessary)	APPLICANT(S): Brady et al.	

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	5,924,082	07/1999	Silverman et al.		
	A2	5,950,176	09/1999	Keiser et al.		
	A3	6,236,972 B1	05/2001	Shkedy		
	A4	US 2001/0034695 A1	10/2001	Wilkinson		
	A5	US 2001/0044771 A1	11/2001	Usher et al.		
	A6	6,317,727 B1	11/2001	May		
	A7	US 2001/0042036 A1	11/2001	Sanders		
	A8	6,321,212 B1	11/2001	Lange		
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The references now cited are the following:

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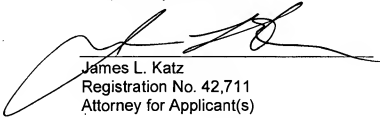
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<[http://www.tradingtechnologies.com/blue\\_xtrader.html](http://www.tradingtechnologies.com/blue_xtrader.html)>, March 18, 2004, 3 pages.

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,



James L. Katz  
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Attorney for Applicant(s)

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(312) 321-4200

FORM PTO-1449 *	SERIAL NO. 10/726,851	CASE NO. 4672/369
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE December 2, 2003	GROUP ART UNIT Not yet assigned
(use several sheets if necessary)	APPLICANT(S): Brady et al.	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small>				
	A34	Barron's, November 4, 1991, "Derivatives Drive New Network", Barron's, 71, 44, ABI/INFORM Global, pp. 36-37.			
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